

# EXHIBIT 6

Page 3536

1 Mirman - Direct

2 THE HEARING OFFICER: Time period.

3 MR. PARISER: Well, he was at John  
4 Thomas between January 18th, 2012 and  
5 February 7th, 2012. I'm asking for any  
6 time when he was there --

7 MR. SORKIN: That's fair.

8 MR. PARISER: -- what's the  
9 largest number of people who reported to  
10 you.

11 A The largest number of people were  
12 about 20.

13 Q And how did you end up working at  
14 John Thomas Financial?

15 A Late 2011, one of our clients at  
16 another firm, BMA Securities, was tasked with  
17 taking an issuer on a non-deal road show. That  
18 issuer was named Citrix Holdings, a NASDAQ  
19 company.

20 My assistant actually cold called  
21 the head of capital markets at the time, a guy  
22 named Jason Goldstein --

23 Q When you say "head of capital  
24 markets," was that at John Thomas Financial?

25 A At John Thomas Financial.

Page 3537

1 Mirman - Direct

2 -- and he arranged for the  
3 meeting.

4 We took the company there, and I  
5 couldn't believe my eyes, the place was just on  
6 fire, energetic, filled with about 200 people,  
7 and a few people that I had known from past  
8 employment, and so I got to meet Tommy Belesis,  
9 I met some others, and over the course of the  
10 next month or two talked about a potential  
11 employment for me there.

12 Q And what did you find -- did you  
13 learn more about the firm in connection with  
14 your beginning to take employment there?

15 A Yes.

16 Q What did you learn? In connection  
17 with investment banking.

18 A The company had conducted a few  
19 offerings, mostly Reg D offerings, and had a  
20 Facebook fund called the Gault something -- the  
21 Gault Financial Fund or something like that.  
22 They had done a few transactions, Amber Alert  
23 was one of them, America West was another,  
24 Sahara Media Holdings was another, I think there  
25 was a successor company to Sahara Media, and I

VERITEXT REPORTING COMPANY

[www.veritext.com](http://www.veritext.com)

212-267-6868

516-608-2400

CONFIDENTIAL TREATMENT REQUESTED BY FINRA

FINRA-MIRMAN\_00005

VERITEXT REPORTING COMPANY

[www.veritext.com](http://www.veritext.com)

516-608-2400

CONFIDENTIAL TREATMENT REQUESTED BY FINRA

FINRA-MIRMAN\_00006



Page 3548

7 MR. SORKIN: Objection. He was  
8 asked what happened on this day, he  
9 wasn't asked what happened several  
10 months before. It's a narrative.

11 THE HEARING OFFICER: Sustained.  
12 You've answered the question how  
13 you learned about it. Some brokers  
14 called you?

15 THE WITNESS: Yes. Sorry.

16 THE HEARING OFFICER: Go ahead.

17 Q What were you doing on the 23rd?

18 A I was in the investment banking  
19 department.

20 Q Were you involved in any  
21 particular transaction?

22 A Yes.

## 23 Q What transaction?

24 A Grandparents.com.

25 Q Can you describe what was

212-267-6868

## VERITEXT REPORTING COMPANY

[www.veritext.com](http://www.veritext.com)

CONFIDENTIAL TREATMENT REQUESTED BY FINRA

516-608-2400

FINRA-MIRMAN\_00017

## VERITEXT REPORTING COMPANY

www.veritext.com

516-608-2400

FINRA-MIRMAN\_00113

Page 3650

Page 3651

Page 3652

1 Mirman - Cross  
2 grandparents.com closing that you referred to?  
3 A That is what Jeff Wasserman is  
4 referring to.  
5 Q Now, do you remember when you  
6 received this e-mail? Sent at 12:20, do you  
7 remember when you received it?  
8 A No.  
9 Q You told us earlier -- by the way,  
10 as of February 23rd, 2012, how long had you been  
11 at the firm?  
12 A Six weeks.  
13 Q And you told us earlier, I think,  
14 when you were talking about in your view  
15 Mr. Belesis' good points, that he's hands-on.  
16 A Yes.  
17 Q Was he hands-on on financing  
18 deals?  
19 A Sometimes.  
20 Q Well, was he hands-on on the  
21 grandparents.com?  
22 A Define "hands-on."  
23 Q You define it. You told us he was  
24 hands-on. What do you mean, hands-on?  
25 A I said that he was involved in all

**VERITEXT REPORTING COMPANY**

212-267-6868

[www.veritext.com](http://www.veritext.com)

516-608-2400

CONFIDENTIAL TREATMENT REQUESTED BY FINRA

FINRA-MIRMAN\_00121